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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/770,423

01/26/2001

Jorn Gorlach

2028US

7062

22881

7590

10/17/2002

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EXAMINER

SAKELARIS, SALLY A

ART UNIT

PAPER NUMBER

1634

DATE MAILED: 10/17/2002

8

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/770,423

Applicant(s)

GORLACH ET AL.

Examiner

Sally A Sakelaris

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 01 August 2002.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-3, 5-24 and 26 is/are pending in the application.
- 4a) Of the above claim(s) 4, 25 and 27 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-3, 5-24 and 26 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

**DETAILED ACTION**

***Response to Arguments***

***Election/Restrictions***

Applicant's arguments filed 8/01/02 have been fully considered but they are not persuasive. Applicant's election with traverse of Group I, claims 1-3, 5-24, and 26 in paper No. 7 is acknowledged. The traversal is on the ground(s) that the examiner misinterpreted the term "reasonable" in her sequence restriction requirement. It is maintained however, that the *Official Gazette* and notices posted on the PTO website have included guidance "to include up to 10 nucleotide sequences per application." The examiner retains his/her discretion in the inclusion of "up to 10 sequences." However, it is further maintained that the examiner adhered to the PTO policy concerning restriction practice as defined in 35 U.S.C. 121, "if two or more independent and distinct inventions are claimed in one application, the commissioner may require the application to be restricted to one of the inventions." The examiner maintains that the inventions are distinct, each from the other because of the following reasons:

a. Inventions I and II are patentably distinct in structure and physiochemical properties. Invention I is drawn to nucleic acids whereas Invention II is drawn to polypeptides. Because nucleic acids are composed of nucleotides and proteins are composed of amino acids, the inventions have different structural and functional properties. Furthermore, the compositions are utilized in different methodologies, such that nucleic acids may be utilized in hybridization assays, while the proteins may be utilized in ligand binding assays or to generate antibodies. The protein of invention II does not require the particular products of the nucleic acids of group I since the proteins of invention II can be isolated from natural sources or chemically synthesized.

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The separate classification of inventions I and II is *prima facie* evidence that the examination of these inventions would place an undue burden on the examiner. Furthermore, the searches required to examine the instantly claimed polynucleotides and the instantly claimed polypeptides would be different, requiring a search of different classes, different electronic databases and the use of different key words in such a search. As such, the restriction is still deemed proper and is therefore made FINAL.

### ***Specification***

The disclosure is objected to because it contains an embedded hyperlink and/or other form of browser-executable code. Applicant is required to delete the embedded hyperlink and/or other form of browser-executable code(See for ex. Pg. 15, line 24). See MPEP § 608.01.

### ***Priority***

Acknowledgement of the provisional application drawn to this same subject matter has been made. The filing date of the instant claims is deemed to be the filing date of the provisional application 60/178,512 01/27/2000.

### ***35 U.S.C. 101/112 Utility Rejections***

35 U.S.C. 101 reads as follows:

"Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter or any new and useful improvement thereof, may obtain a patent therefore, subject to the conditions and requirements of this title".

Definitions: [from REVISED INTERIM UTILITY GUIDELINES TRAINING MATERIALS; repeated from <http://www.uspto.gov/web/menu/utility.pdf> ]

"Credible Utility" - Where an applicant has specifically asserted that an invention has a particular utility, that assertion cannot simply be dismissed by Office personnel as being "wrong". Rather, Office personnel must determine if the assertion of utility is

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credible (i.e., whether the assertion of utility is believable to a person of ordinary skill in the art based on the totality of evidence and reasoning provided). An assertion is credible unless (A) the logic underlying the assertion is seriously flawed, or (B) the facts upon which the assertion is based is inconsistent with the logic underlying the assertion. Credibility as used in this context refers to the reliability of the statement based on the logic and facts that are offered by the applicant to support the assertion of utility. A *credible* utility is assessed from the standpoint of whether a person of ordinary skill in the art would accept that the recited or disclosed invention is currently available for such use. For example, no perpetual motion machines would be considered to be currently available. However, nucleic acids could be used as probes, chromosome markers, or forensic or diagnostic markers. Therefore, the credibility of such an assertion would not be questioned, although such a use might fail the *specific* and *substantial* tests (see below).

"Specific Utility" - A utility that is *specific* to the subject matter claimed. This contrasts with a *general* utility that would be applicable to the broad class of the invention. For example, a claim to a polynucleotide whose use is disclosed simply as a "gene probe" or "chromosome marker" would not be considered to be *specific* in the absence of a disclosure of a specific DNA target. Similarly, a general statement of diagnostic utility, such as diagnosing an unspecified disease, would ordinarily be insufficient absent a disclosure of what condition can be diagnosed.

"Substantial utility" - a utility that defines a "real world" use. Utilities that require or constitute carrying out further research to identify or reasonably confirm a "real world" context of use are not substantial utilities. For example, both a therapeutic method of treating a known or newly discovered disease and an assay method for identifying compounds that themselves have a "substantial utility" define a "real world" context of use. An assay that measures the presence of a material which has a stated correlation to a predisposition to the onset of a particular disease condition would also define a "real world" context of use in identifying potential candidates for preventive measures or further monitoring. On the other hand, the following are examples of situations that require or constitute carrying out further research to identify or reasonably confirm a "real world" context of use and, therefore, do not define "substantial utilities":

A. Basic research such as studying the properties of the claimed product itself or the mechanisms in which the material is involved.

B. A method of treating an unspecified disease or condition. (Note, this is in contrast to the general rule that treatments of specific diseases or conditions meet the criteria of 35 U.S.C. 101.)

C. A Method of assaying for or identifying a material that itself has no "specific and/or substantial utility".

D. A method of making a material that itself has no specific, substantial, and credible utility.

E. A claim to an intermediate product for use in making a final product that has no specific, substantial, and credible utility.

Note that "throw away" utilities do not meet the tests for a *specific* or *substantial* utility. For example, using transgenic mice as snake food is a utility that is neither specific (all mice could function as snake food) nor substantial (using a mouse costing tens of thousands of dollars to produce as snake food is not a "real world" context of use). Similarly, use of any protein as an animal food supplement or a shampoo ingredient are "throw away" utilities that would not pass muster as specific or substantial utilities under 35 U.S.C. ' 101. This analysis should, of course, be tempered by consideration of the context and nature of the invention. For example, if a transgenic mouse was generated with the specific provision of an enhanced nutrient profile, and disclosed for use as an animal food, then the test for specific and substantial *asserted* utility would be considered to be met.

"Well established utility" - a specific, substantial, and credible utility which is well known, immediately apparent, or implied by the specification's disclosure of the properties of a material, alone or taken with the knowledge of one skilled in the art. "Well established utility" does not encompass any "throw away" utility that one can dream up for an invention or a nonspecific utility that would apply to virtually every member of a general class of materials, such as proteins or DNA. If this is the case, any product or apparatus, including perpetual motion machines, would have a "well established utility" as landfill, an amusement device, a toy, or a paper weight; any carbon containing molecule would have a "well established utility" as a fuel since it can be burned; any protein would have well established utility as a protein supplement for animal food. This is not the intention of the statute.

See also the MPEP at 2107 - 2107.02.

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 1-3, 5-24, and 26 are rejected under 35 U.S.C. 101 because the claimed invention lacks patentable utility due to its not being supported by either specific, substantial or a well established utility.

The claimed nucleic acid is not supported by a specific asserted utility because the disclosed use of the nucleic acid is not specific and is generally applicable to any nucleic acid. The specification states that the nucleic acids may be useful as a hybridization probe to

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complementary molecules in a cDNA library using probe design methods, cloning methods, and clone selection as is well known in the art. Alternatively, the sequences may be introduced under the control of promoters that are convenient for induction of expression of the protein.

Translations of the provided nucleic acid can be aligned with amino acid profiles that define either protein families or common motifs. Similarity or identity with profile sequences or MSAs can be used to determine the activity of the gene products encoded by the provided nucleic acids or corresponding cDNA or genes. These are non-specific uses that are applicable to nucleic acids in general and not particular or specific to the nucleic acid being claimed.

Further, the claimed nucleic acid is not supported by a substantial utility because no substantial utility has been established for the claimed subject matter. For example, a nucleic acid may be utilized to obtain a protein. The protein could then be used in conducting research to functionally characterize the protein. The need for such research clearly indicates that the protein and/or its function is not disclosed as to a currently available or substantial utility. A starting material that can only be used to produce a final product does not have substantial asserted utility in those instances where the final product is not supported by a specific and substantial utility. In this case none of the proteins that are to be produced as final products resulting from processes involving claimed nucleic acids have asserted or identified specific and substantial utilities. The research contemplated by applicants to characterize potential protein products, especially their biological activities, does not constitute a specific and substantial utility. Identifying and studying the properties of a protein itself or the mechanisms in which the protein is involved does not define a "real world" context or use. Similarly, the other listed and asserted utilities as summarized above or in the instant specification are neither substantial nor specific due to being generic in nature and applicable to a myriad of such compounds. Note, because the claimed invention is not supported by a specific and substantial asserted utility for the reasons set forth above, credibility has not been assessed. Neither the specification as filed nor any art of record discloses or suggests any property or activity for the nucleic acid such that another non-asserted utility would be well established for the compounds.

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Claims 1-3, 5-24 and 26 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention. Specifically, since the claimed invention is not supported by either a specific and substantial asserted utility or a well established utility for the reasons set forth above, one skilled in the art would not know how to use the claimed invention.

A review of the language of the claim indicates that the claim is drawn to a genus, i.e., any nucleic acid comprising a sequence capable of hybridizing under stringent conditions to a sequence set forth in SEQ ID NO:1, or a fragment thereof including any full length gene which contains the sequence, any fusion constructs or cDNAs.

The search indicates that that SEQ ID NO: 1 is a novel and unobvious sequence. There is a single species explicitly disclosed (a molecule consisting of SEQ ID NO: 1 that is within the scope of the claimed genus).

The disclosure of a single disclosed species may provide an adequate written description of a genus when the species disclosed is representative of the genus. The present claim encompasses any sequence capable of hybridizing under stringent conditions, full length genes, splice variants and cDNAs that are not further described. There is substantial variability among the species of DNAs encompassed within the scope of the claims because SEQ ID NO:1 is only a fragment of any full length gene or cDNA species. When reviewing a claim that encompasses a widely varying genus, the examiner must evaluate any necessary common attributes or features. In the case of a partial cDNA sequence that is claimed with open language (comprising), the genus of, e.g., "a nucleic acid comprising a sequence capable of hybridizing," encompasses a variety of subgenera with widely varying attributes. For example, a cDNA's principle attribute would include its coding region. A partial cDNA that did not include a disclosure of any open reading frame (ORF) of which it would be a part, would not be representative of the genus of cDNAs because no information regarding the coding capacity of

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any cDNA molecule would be disclosed. Further, defining "the" cDNA in functional terms would not suffice in the absence of a disclosure of structural features or elements of a cDNA that would encode a protein having a stated function.

A description of a genus of cDNAs may be achieved by means of a recitation of a representative number of cDNAs, defined by nucleotide sequence, falling within the scope of the genus or of a recitation of structural features common to the members of the genus, which features constitute a substantial portion of the genus. Regents of the University of California v. Eli Lilly & Co., 119 F3d 1559, 1569, 43 USPQ2d 1398, 1406 (Fed. Cir. 1997).

Here, the specification discloses only a single common structural feature shared by members of the claimed genus i.e., a sequence capable of hybridizing to SEQ ID NO:1. Since the claimed genus encompasses genes yet to be discovered, splice variants, etc., the disclosed structural feature does not "constitute a substantial portion" of the claimed genus. Therefore, the disclosure of SEQ ID NO:1 does not provide an adequate description of the claimed genus.

Weighing all factors, 1) partial structure of the DNAs that comprise SEQ ID NO:1, 2) partial structure of DNAs that are capable of hybridizing to SEQ ID NO:1, 3) the breadth of the claim as reading on genes yet to be discovered in addition to numerous splice variants and cDNAs, 4) the lack of correlation between the structure and the function of the genes and/or fusion constructs; in view of the level of knowledge and skill in the art, one skilled in the art would not recognize from the disclosure that the applicant was in possession of the genus of DNAs which comprise a sequence capable of hybridizing under stringent conditions to SEQ ID NO:1 and therefore the written description requirement has not been satisfied for the claims as they are broadly written. Applicants attention is drawn to the Guidelines for the Examination of Patent Applications under 35 U.S.C. 112, ¶ 1 "Written Description" Requirement, Federal Register, Vol. 66, No.4, pages 1099-1111, Friday January 5, 2001.

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

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Claims 1-3, 5-24, and 26 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

A. Claims 1-3, 5-24, and 26 are unclear in their recitation of "stringent." It is unclear as to whether "stringent" refers to high, low, or moderate stringency and what would be encompassed by each of these conditions. Therefore, one cannot determine the metes and bounds of the claimed subject matter. The claim should be amended to explicitly state the appropriate conditions for hybridization.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless —

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-3 are rejected under 35 U.S.C. 102(b) as being anticipated by Rounsley et al. (Nucleic Acids Research, 1997).

It should be noted that the term "stringent" has been interpreted as including any type of hybridization conditions, include low stringency, and under such conditions that the nucleic acid of Rounsley would hybridize to some degree to the nucleic acid of SEQ ID NO:1.

Rounsley et al. teach a nucleic acid comprising a sequence capable of hybridizing under stringent conditions to a sequence set forth in SEQ ID NO:1 or a fragment thereof. Rounsley et

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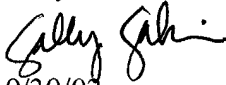
al. also teach a vector comprising the aforementioned nucleic acid and regulatory elements for expression operably linked to said sequence.

Any inquiry concerning this communication or earlier communication from the examiner should be directed to Sally Sakelaris whose telephone number is (703) 306-0284. The examiner can normally be reached on Monday-Thursday from 7:00AM-5:30PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, W.Gary Jones, can be reached on (703)308-1152. The fax number for the Technology Center is (703)305-3014 or (703)305-4242.

Any inquiry of a general nature or relating to the status of this application should be directed to Chantae Dessau whose telephone number is (703)605-1237.

Sally Sakelaris

  
9/30/02

  
CARLA J. MYERS  
PRIMARY EXAMINER